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UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

UNITED STATES SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

- against -

ALPINE SECURITIES CORPORATION,

Defendant.

17-cv-4179-DLC

**NOTICE OF MOTION FOR
PARTIAL SUMMARY JUDGMENT**

ECF CASE

Please take notice that, pursuant to Fed. R. Civ. P. 56, Plaintiff United States Securities and Exchange Commission (the “Commission”) moves this Court for partial summary judgment that Defendant Alpine Securities Corporation (“Alpine”) violated Section 17(a) of the Securities Exchange Act and Rule 17a-8 thereunder for each of the sample violations presented in the Commission’s memorandum of law, which includes: (a) 21 samples of Alpine’s failure to adequately describe transactions in suspicious activity reports (“SARs”); (b) 29 samples of Alpine’s failure to report suspicious liquidations; (c) five samples of Alpine’s failure to timely file SARs; and (d) five samples of Alpine’s failure to maintain supporting documentation for SARs. For the reasons stated in the accompanying memorandum of law, the Commission

respectfully requests the Court enter summary judgment finding Defendant liable for these sample violations.

Dated: December 6, 2017

/s/ Terry R. Miller
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CERTIFICATE OF SERVICE

I certify that on December 6, 2017, a copy of the foregoing document was served via ECF upon the following:

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